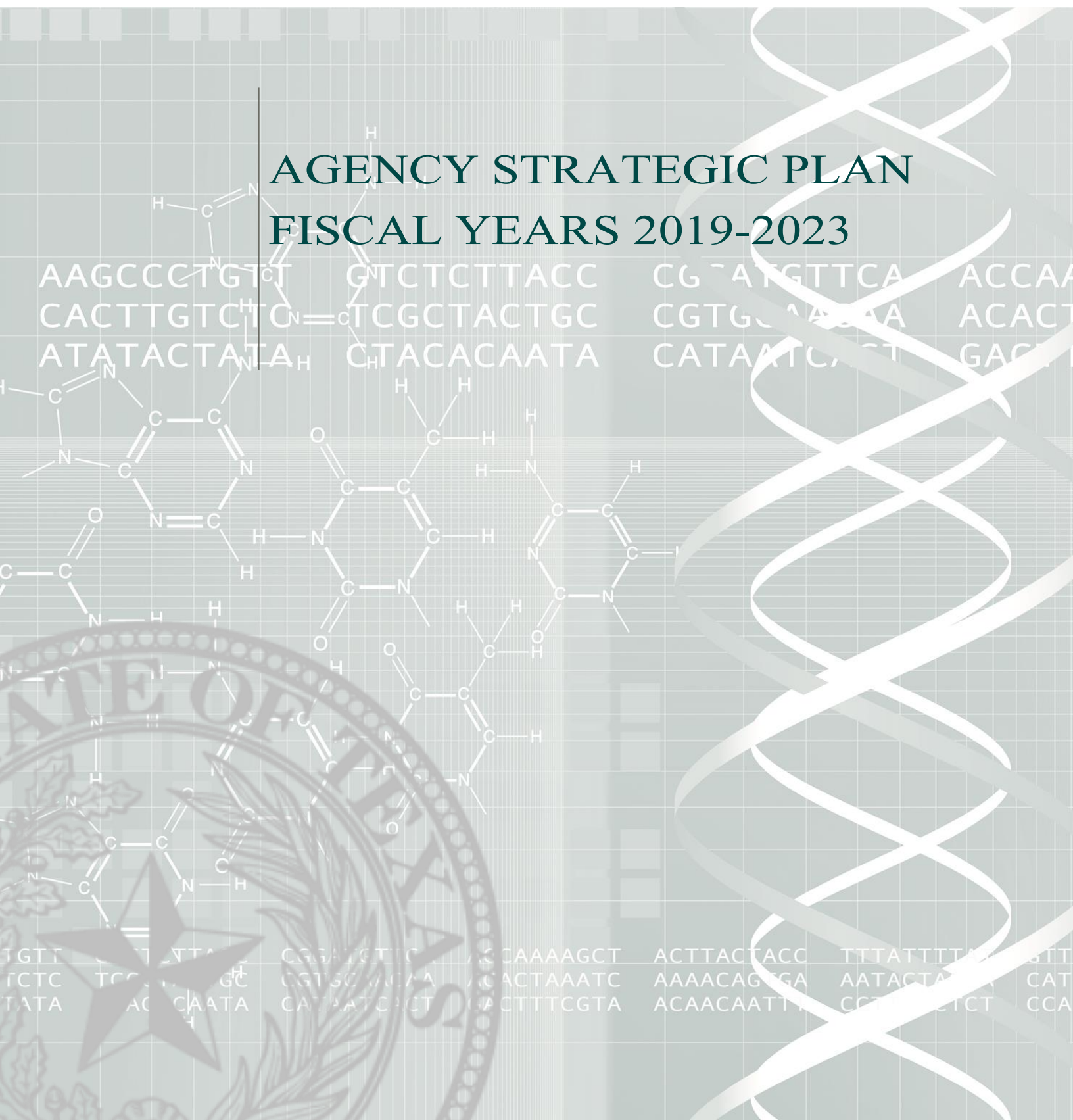




CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

# AGENCY STRATEGIC PLAN FISCAL YEARS 2019-2023





**Agency Strategic Plan**  
**Fiscal Years 2019 – 2023**

by

**Cancer Prevention and Research Institute of Texas**

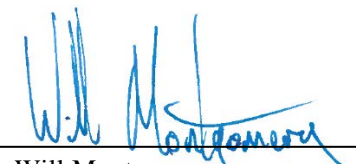
<b>Oversight Committee Member</b>	<b>Dates of Term</b>	<b>Hometown</b>
Will Montgomery, Presiding Officer	2013-2023	Dallas
Angelos Angelou	2013-2019	Austin
Mahendra C. Patel, M.D., P.A.	2017-2021	San Antonio
Donald “Dee” Margo	2015-2021	El Paso
William Rice, M.D.	2013-2019	Austin
Craig Rosenfeld, M.D.	2013-2017	Dallas

JUNE 8, 2018

Signed:

  
\_\_\_\_\_  
Wayne R. Roberts  
Chief Executive Officer

Signed:

  
\_\_\_\_\_  
Will Montgomery  
Presiding Officer, Oversight Committee





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# CANCER PREVENTION AND RESEARCH INSTITUTE OF TEXAS MISSION AND PHILOSOPHY

## AGENCY MISSION

Pursuant to V.T.C.A., Health and Safety Code, Section 102.002, the Cancer Prevention and Research Institute of Texas is to create and expedite innovation in the area of cancer research and to enhance the potential for a medical or scientific breakthrough in the prevention of cancer and cures for cancer; attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in this state; and develop and implement the *Texas Cancer Plan*.

## AGENCY PHILOSOPHY

The Cancer Prevention and Research Institute of Texas will act in accordance with the highest standards of ethics, accountability, efficiency, and transparency. We affirm that our constitutional responsibility to distribute public funds to cure and mitigate cancer is a commitment to the citizens of Texas. We approach our responsibilities with purpose to honor that commitment.



## AGENCY OPERATIONAL GOALS AND ACTION PLAN

CPRIT's mission is to expedite discoveries and innovations across Texas to reduce the burdens of cancer. CPRIT awarded its first substantive cancer research grants in January 2010. Eight and a half years later, the CPRIT Oversight Committee has approved 1,255 grants equal to nearly \$2 billion, or two-thirds of the funding approved by Texans. CPRIT has five years and nearly \$1 billion to invest in its mission before its 2023 sunset date.

CPRIT is committed to carrying out its mission in line with the state leadership's vision that the agency be accountable, efficient, effective and transparent. CPRIT's 2018 strategic plan reflects the agency's philosophy:

The Cancer Prevention and Research Institute of Texas will act in accordance with the highest standards of ethics, accountability, efficiency, and transparency. We affirm that our constitutional responsibility to distribute public funds to cure and mitigate cancer is a commitment to the citizens of Texas. We approach our responsibilities with purpose to honor that commitment.

CPRIT continues to act consistently with this commitment during the 2018-19 biennium. As described below, CPRIT remains dedicated to the tenets of accountability, efficiency, effectiveness and transparency during the implementation years of this 2019-2023 strategic plan.

CPRIT's enabling statute specifies three requirements that the Institute adopts as its operational goals. These three goals and examples of specific action items used to implement the goals follow:

Attract, create and expand research capabilities in higher education

- Recruit stellar researchers and their labs to Texas institutions from across the world
- Increase the likelihood that the National Cancer Institute will identify additional Texas institutions as designated and/or comprehensive cancer centers
- Stimulate receipt of new non-state research funds to Texas institutions
- Establish core facilities to provide access to cutting-edge shared technology through capital instrumentation and technical expertise

Attract, create and expand the capabilities of private entities and create high-quality new jobs

- Attract existing biotech companies from elsewhere to Texas and establish new companies in Texas
- Enhance existing venture capital biotech investment in Texas
- Stimulate private sector follow-on investment in companies brought to Texas by CPRIT or created through CPRIT funding in Texas
- Increase the state's gross product, personal income, and retail sales
- Increase the number of high quality new permanent jobs created in Texas





Expedite innovation in research and enhance the potential of breakthroughs in prevention and cures

- Support new clinical trials and increase the number of patients in CPRIT-funded clinical trials
- Identify cancer precursors and cancers detected through CPRIT-funded screening awards
- Establish nationally recognized teams and centers in Texas
- Increase the number of academic peer-reviewed publications and patent applications resulting from academic and product development research

## **ACCOUNTABLE TO TEXANS**

Fighting cancer in its many manifestations is of paramount importance to Texans. Accordingly, the Legislature took extraordinary steps to make sure that CPRIT funds only the best science and evidence-based prevention activities. CPRIT relies upon a merit-based peer review system that is free from conflicts of interest.

CPRIT's enabling legislation incorporates strict statutory checks and balances. CPRIT implements V.T.C.A., Health & Safety Code, Chapter 102 through Texas Administrative Code, Chapters 701-703. The administrative rules codify required processes CPRIT must follow to allocate state appropriations for research and prevention awards and administration of those funds. CPRIT documents adherence to those processes through a variety of mechanisms, including application compliance pedigrees. The pedigrees itemize up to 60 distinct steps in the review process, from posting the requests for applications through award funding approval by the Oversight Committee. A CPRIT staff member or contractor attests to each step. In addition, the Chief Executive Officer and the Chief Compliance Office must certify that each step of the pedigree is completed before the Oversight Committee may vote on an award recommendation.

CPRIT's Audit Subcommittee, comprised of three Oversight Committee members, requires CPRIT staff to itemize internal and financial audit findings and report on the implementation status at its regular quarterly meetings. This process continues until the finding is addressed to the subcommittee's satisfaction. The audit reports are posted on the Institute's website for public examination.

## **EFFICIENTLY OPERATE THE AGENCY TO ACHIEVE MAXIMUM RESULTS WHILE MINIMIZING WASTE OF TAXPAYER FUNDS**

To maximize the funds available for substantive research and preventive grants, CPRIT minimizes operational costs for both agency and grant management operations. Unlike most state agencies, CPRIT's funding is appropriated bond proceeds, which is statutorily capped at \$300 million per year. Because of this unique funding source CPRIT does not receive biennial funding increases.

CPRIT's sunset year was changed from 2021 to 2023 by the 85<sup>th</sup> Texas Legislature in order to use fully the Institute's constitutionally authorized \$3 billion in general obligation bonds. Without this extension, CPRIT estimated that it would not be able to use \$77.7 million of its funding authority for a variety of reasons. After this date change the Institute evaluated different annual funding allocation scenarios to use fully available authority between fiscal years 2020 and 2022, the last year in which CPRIT by law can make awards. As a result, the decision to allocate all remaining grant authority only between fiscal years 2020 and 2021 was made



due to the significant savings in administrative costs if awards were also made in 2022. CPRIT estimates that it will spend as much as \$7.0 million more on research and prevention activities as a result of this allocation than compared to alternative scenarios considered.

At CPRIT's request the 85<sup>th</sup> Legislature also authorized the Institute to contract with the Texas Treasury Safekeeping Trust Company (Trust) to manage the Institute's growing revenue and equity portfolios. Using the Trust's existing capabilities avoids duplicating this expensive management expertise and maximizes core Institute grant making functions.

CPRIT maintains a low administrative overhead of six percent of the agency's overall biennial budget. Between 2010 and 2012, CPRIT relied upon three FTEs for agency grant compliance and fiscal monitoring functions. Through additional FTE authority provided by the Legislature and staffing reorganizations since 2013, CPRIT has 13 FTEs focused on grant compliance and fiscal monitoring functions. Included in this number are the three additional FTEs authorized by the 85<sup>th</sup> Legislature to replace a contracted vendor that performed monitoring site visits and desk reviews. The additional FTEs and compliance support added since 2013 enabled the agency to address outstanding audit and grantee compliance issues and carry out compliance monitoring and training. As of May 2018, CPRIT has awarded 1,255 grants (573 active grants) totaling \$1.98 billion.

Since 2015 CPRIT substantially reduced its facility lease payments. In early 2015, CPRIT completed a two-stage move from an expensive downtown Austin lease to newly renovated space in a state-owned office building. Although the renovations and associated relocation expenses totaled nearly \$1 million, this one-time expense has been more than offset by the elimination of costly lease payments. CPRIT further reduced the agency's lease payments by closing the agency's Houston office in 2016 upon the retirement of the former Chief Scientific Officer. Her successor works out of the Austin office. Basing the Chief Scientific Officer and his staff in the Austin office enhances internal communication and operational efficiencies with concomitant cost savings due to terminated office and equipment leases and reduced travel requirements.

CPRIT relies heavily on its information technology infrastructure which is in a cloud environment that allows the agency to operate effectively and efficiently whether staff is in the office or working remotely because all critical IT services are accessible in this environment. CPRIT's pre- and post-award grant management platform, an IT service also accessed by CPRIT grantees, is a mobile platform that is accessible 24/7. The virtualized IT environment includes redundancy and is key to CPRIT's business continuity planning to allow the agency to continue operations in the event of a disaster. The infrastructure is managed using a combination of in-house and contracted staff as well as service vendors. In addition, the Institute has an internal Information Technology Governance Committee composed of staff from different areas of the Institute to oversee the ongoing creation and revision of IT policies and data management. The IT infrastructure, environment and information security policies, practices, and procedures follow or exceed the Department of Information Resources' requirements.

CPRIT employs a small but talented staff and is committed to keeping them abreast of the dynamic cancer research and prevention landscape through training in their area of expertise to maintain job performance. Additionally, the Institute provides other training to enhance their capabilities such as IT security training.



CPRIT will also ensure that the nine operational staff who administer service contracts take the contract management training required by Texas Government Code, Sec. 2056.002(b)(9) as soon as the Comptroller's Statewide Procurement Division makes it available to state agencies which is anticipated to be summer 2018.

### **EFFECTIVE IN SUCCESSFULLY FULFILLING CORE FUNCTIONS, MEASURING SUCCESS IN ACHIEVING PERFORMANCE MEASURES AND IMPLEMENTING PLANS TO CONTINUOUSLY IMPROVE**

As required by law, the Oversight Committee annually reviews, revises and adopts programmatic priorities within and across academic research, product development research and prevention. These priorities transparently indicate how CPRIT's funding is oriented and guide issuance of requests for applications, application reviews, and ranking recommendations within budget constraints.

CPRIT's Oversight Committee inaugurated an agency performance "dashboard" in 2014 reflecting 47 management measures related to accountability, agency mission and transparency. These metrics add to those required through the state's strategic planning and budget templates included elsewhere in this strategic plan.

CPRIT staff reports on these metrics at each quarterly Oversight Committee meeting and posts the information on CPRIT's website as part of the publicly available meeting materials. CPRIT staff and the Oversight Committee initiated a separate internal strategic planning process in January 2016 to develop ideas for modifying the CPRIT grant portfolio over the then next five years and to prepare for a responsible wind down of agency operations as the agency advanced towards its then 2021 sunset year.

The question is often asked: "When are you going to cure cancer?" Some answers are provided in *Curing Cancer: Where are we today?* posted on CPRIT's website. Scientific advances build upon research and the work of others over many years. It takes more than 15 years and hundreds of millions of dollars, perhaps as much as \$2 billion to take a scientific discovery through all of the regulatory steps necessary for a life-saving drug to be available to patients. However, preventions and cures are possible with each advancement. So the answer to the question—when will cancer be cured? —is now. Cancer is cured now, one discovery at a time. Three examples that underscore this point include:

- Texans with melanoma, lung cancer, bladder cancer, lymphoma, leukemia and osteosarcomas are benefitting from participation in CPRIT sponsored clinical research of novel immunotherapies. These powerful new cancer therapies include checkpoint inhibitors that are based on research by CPRIT Scholar James Allison of The University of Texas MD Anderson Cancer Center and T-cell therapies based on CPRIT funded research to harness a patient's own immune system.
- CPRIT supported a team of scientists, surgeons and engineers led by Livia Schiavinato of The University of Texas at Austin, that also included Baylor College of Medicine and The University of Texas MD Anderson Cancer Center in developing a new handheld device that rapidly and accurately identifies cancerous tissue during surgery, delivering results in about 10 seconds—more than 150 times as fast as existing technology. The "MasSpec Pen" is an innovative instrument that promises to give surgeons precise diagnostic information about what tissue to cut or preserve as they are performing surgery, helping to improve treatment and reduce the chances of cancer recurrence.



- CPRIT supported work at cancer therapeutic company Cell Medica that developed a novel process to modify the body's immune cells to target and kill cancer cells while leaving normal healthy tissue unharmed. The technology involves Epstein-Barr virus (EBV)-targeted T-cells, and is showing exciting results in Phase 2 clinical studies. Cell Medica is working in partnership with Baylor College of Medicine under an exclusive license and co-development agreement. This collaboration is expected to generate additional new products for Cell Medica's pipeline.

In the Institute's ongoing external /internal assessment one factor was identified as likely having an enormous negative impact on its core constituency—the citizens of Texas and their health. In eight years CPRIT has accelerated cancer research to get to answers faster, pushed promising drugs into clinical trials faster and reduced the risk of cancer through prevention and education. The momentum gained in the past eight years is now threatened by the decline in general obligation bond revenues to sustain CPRIT's grant programs at current levels. As of this writing, CPRIT estimates that funds available for research and prevention grants will decline by \$62 million per year in fiscal years 2020 and 2021. This decline and the possible sunset of the Institute in 2023 may stimulate a major policy discussion as early as the 86<sup>th</sup> Legislature in January 2019. Three questions to consider, among others, include:

- Is Texas willing to risk losing over 150 eminent researchers recruited by CPRIT creating world class expertise in cancer research, particularly immunotherapy and childhood and adolescent cancers?
- Is Texas willing to risk losing its nascent life science sector now catalyzed by CPRIT product development research awards?
- Is Texas willing to terminate the largest cancer prevention initiative in its history, one that affects citizens in all 254 counties?

## **PROVIDING EXCELLENT CUSTOMER SERVICE**

CPRIT's ultimate "customers" are Texans and their elected representatives. However, potential and current grantees are a critical component of CPRIT's constituents. CPRIT staff interacts daily with grant applicants, grantees, and award administrators at the public, private, and non-profit entities associated with cancer research and prevention activities. For a variety of reasons, CPRIT's biennial customer service survey in early 2014 was not positive. CPRIT was still experiencing the after effects of well-publicized operational crises and legislative review in 2013. CPRIT was not able to fill key management vacancies until after the 2013 legislative session and the number of staff for post-award grant oversight was inadequate.

The 2016 customer satisfaction survey results showed marked improvement compared to 2014. CPRIT stabilized operations and initiated a new customer service orientation towards compliance activities as part of the agency reset in fiscal year 2014. From that point forward CPRIT has based its customer service commitment on the belief that the best way to enhance compliance is to prevent noncompliance before it begins. For example, instead of contacting grantees when required reports are already delinquent, CPRIT staff monitors impending due dates to identify trends and proactively addresses grantee issues before they become serious. CPRIT staff work in partnership with grantee administrators to inform grantees about fiscal and programmatic requirements



through teleconferences, webinars, on-site training, and one-on-one direct interventions.

Since 2016, CPRIT has released an updated grant policies and procedures guide every quarter to assist grantees navigate the five sets of guidelines that govern grant administration, including: state law, agency administrative rules, the grant contract, the request for applications and the Uniform Grants Management Standards. The 2018 survey results continue to reflect overall positive customer satisfaction, including a high of 83.3% respondent satisfaction with program and post-award staff courteousness, knowledge, and promptness.

CPRIT continues to develop an updated website design to augment customer service. The design specifications include better data management and information targeted for various consumers: grant applications, current grant awardees, the general public, media, legislators and their staff, and academic researchers.

## **TRANSPARENT AGENCY OPERATIONS AND ACTIVITIES**

CPRIT is committed to conflict-of-interest free grant making. The Institute constantly seeks to improve transparency and provide information about its grant making and operational processes. The public process involved with establishing the Oversight Committee's statutorily-required program priorities clearly articulates how CPRIT intends to focus taxpayer funding each year. Public input during the prioritization process is promoted, encouraged and facilitated. Once established, CPRIT references the priorities every time new awards are approved. CPRIT also creates benchmarks for tracking how the agency fulfills the program priorities.

CPRIT makes a massive amount of information about agency operations and activities publicly available via its website. Briefing materials for all open meetings are publicly posted on CPRIT's website several days prior to the meeting date. Oversight Committee meetings usually take place in the State Capitol to encourage public attendance and make it more convenient for legislators, their staff, oversight agency staff and the media to attend. However, for those not in Austin or unable to attend in person, the open meetings are webcast live and the archived video of quarterly meetings is available through CPRIT's website. CPRIT posts the compliance pedigrees documenting each step in the award-making process and other information detailing the grant review process on CPRIT's website after all open meetings.

CPRIT's website is an important tool for promoting agency transparency. Redesigning the website will improve organization and access to this information, promoting clarity and insight into CPRIT's processes and participants.

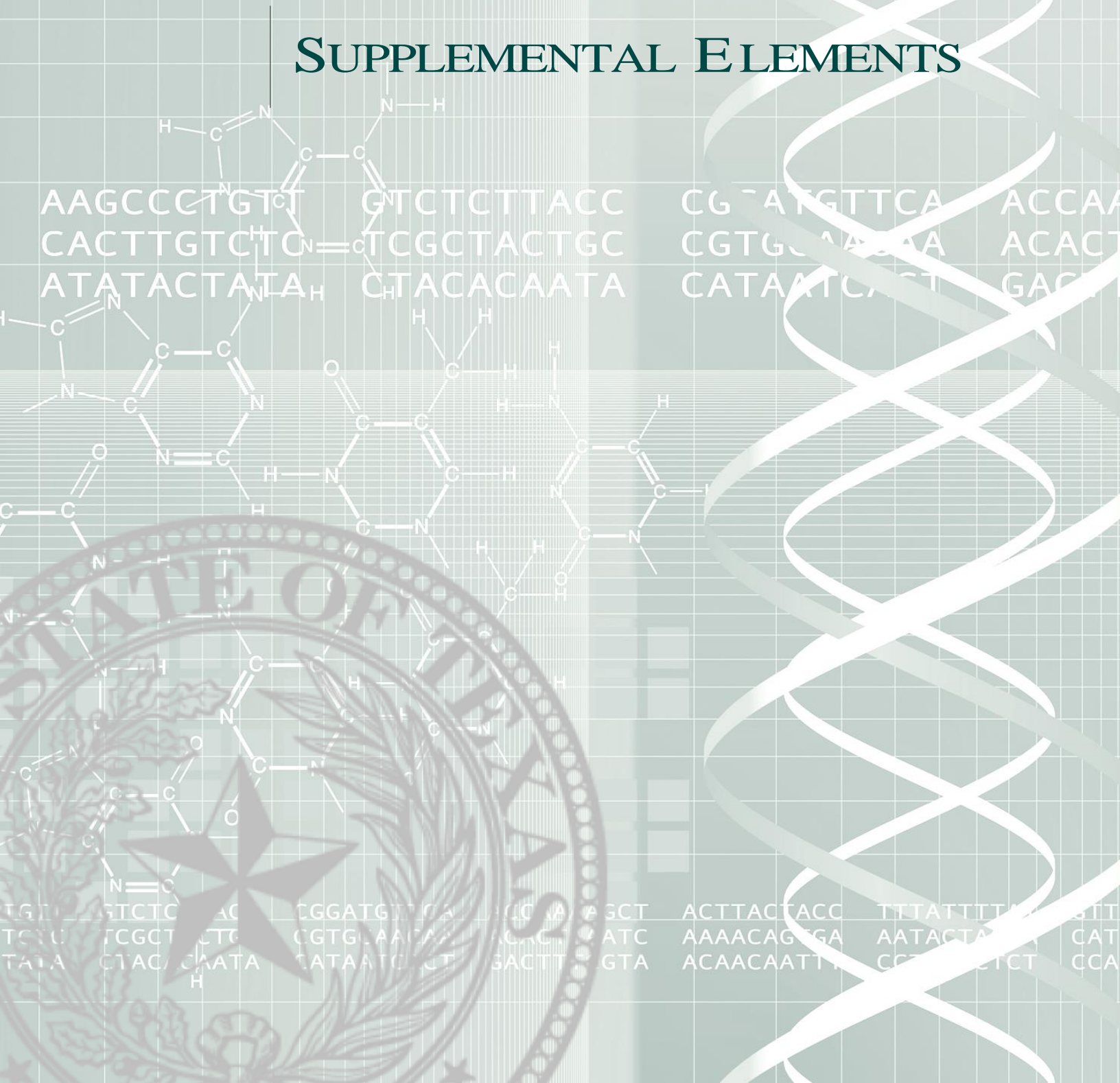






CANCER PREVENTION & RESEARCH  
INSTITUTE OF TEXAS

## SUPPLEMENTAL ELEMENTS



AAGCCCTGCT GTCTCTTACC  
CACTTGTCTGCTCGCTACTGC  
ATATACTATA CTACACAATA

CGTATGTTCA ACCAA  
CGTGAAGAA ACACT  
CATAATCACT GAC

TGCTGCTCTGCTCGGATGTTGCTTCTTAAAGCT  
TCTGCTCGCTCTGCTGTGGAAGAAAGCTCAATC  
TATACTACCAATA CATAATCTGACTTGTGTA  
ACTTACTACC TTTATTITTA  
AAAACAGGGA AATACTA  
ACAACAATT CCTCTCT CCA







## **SCHEDULE A: AGENCY BUDGET STRUCTURE**

### **GOAL 1: CREATE AND EXPEDITE INNOVATION IN CANCER RESEARCH AND PREVENTION SERVICES**

#### **Objective 1.1: Cancer Research and Prevention Projects**

##### **Outcome**

1. Non-State Funds Leveraged as Match for Research Grants (in millions)
2. Total Research Matching Fund Expenditures
3. Percent of Texas Regions with Cancer Prevention Services and Activities Initiated
4. Percentage of Grantees Receiving Compliance Training

#### **Strategy 1.1.1: Award Cancer Research Grants**

##### **Output**

1. Number of Entities Relocating to Texas for Cancer-Research Related Projects
2. Number of Researchers Recruited to Texas to Conduct Cancer Research

##### **Explanatory**

1. Number of Research Grant Awards
2. Average Dollar Amount of Research Grants Awarded
3. Number of Published Articles on CPRIT-Funded Research Projects
4. Number of New Jobs Created and Maintained

#### **Strategy 1.1.2: Award Cancer Prevention Grants**

##### **Output**

1. Number of Cancer Prevention and Control Services Provided by Institute Funded Grants

##### **Explanatory**

1. Annual Age-Adjusted Cancer Mortality Rate

#### **Strategy 1.1.3: Grant Review and Award Operations**

##### **Output**

1. Number of Grants Reviewed for Compliance

### **GOAL 2: INDIRECT ADMINISTRATION**

#### **Objective 2.1: Indirect Administration**

##### **Strategy 2.1.1: Indirect Administration**



## SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

### GOAL 1: CREATE AND EXPEDITE INNOVATION IN CANCER RESEARCH AND PREVENTION SERVICES

#### Objective 1.1: Cancer Research and Prevention Projects

Outcome Measure 1.1.1	Non-State Funds Leveraged as Match for Research Grants (in
Short Definition:	Total amount of non-state funds leveraged as match for Institute research grants. Non-state funds include any federal, non-profit, corporate, or philanthropic sources of money used as match.
Purpose/Importance:	This measure indicates the amount of non-state appropriated dollars invested in cancer research in Texas.
Source/Collection of Data:	Data for all leverage funds announced is documented in the Institute agreements signed by grant recipients.
Method of Calculation:	Institute staff will total the amount of leverage investments identified in signed protect agreements for projects receiving Institute awards.
Data Limitations:	None
Calculations Type:	Cumulative
New Measure:	No
Desired Performance:	Higher than target

Outcome Measure 1.1.2	Total Research Matching Fund Expenditures
Short Definition:	The total expenditures for the conduct of research and development from all matching fund sources during the reporting period, including indirect costs. This would exclude amounts granted by the Cancer Prevention and Research Institute and would also exclude the Institute's fringe benefits.
Purpose/Importance:	This measure is an indicator of the level of matching research dollars expended for cancer research grant awards.
Source/Collection of Data:	Annual financial reports from grant recipients documenting actual expenditures of all funds related to the Institute's grant award.
Method of Calculation:	The total dollar amount of matching fund expenditures for the conduct of research and development from all funding sources documented in the Institute's award agreements signed by the grant recipients.
Data Limitations:	None
Calculations Type:	Cumulative
New Measure:	No
Desired Performance:	Higher than target



Outcome Measure 1.1.3	Percent of Texas Regions with Cancer Prevention Services and Activities Initiated
Short Definition:	Total verified number of Texas regions, as described by the Texas Health and Human Services Commission, (expressed as a percentage) receiving cancer prevention services through direct Institute intervention or Institute-funded contracts that address one or more of the <i>Texas Cancer Plan</i> goals.
Purpose/Importance:	The <i>Texas Cancer Plan</i> goals are: Prevention Information and Services; Early Detection and Treatment; Professional Education and Practice; Cancer Data Acquisition and Utilization; and Survivorship. The measure reflects the Institute's ability to wage a multi-faceted attack on cancer.
Source/Collection of Data:	Each initiative is required to apply for Institute funding annually. The applicant must report which <i>Texas Cancer Plan</i> goals are being addressed by their activities and must also indicate the geographic area(s) their program will serve. Each applicant must address at least one Cancer Plan goal and may address multiple goals.
Method of Calculation:	Institute staff verifies the goals being addressed and creates a matrix documenting all initiatives and goals addressed. Geographic areas served will also be tracked. Agency records, and/or a current list of initiatives that are promoted by direct Institute intervention or funded initiatives will substantiate the percentage of Texas regions with services and activities addressed in the <i>Texas Cancer Plan</i> .
Data Limitations:	Inclusion of a Texas region in this calculation does not imply that all of the goals, objectives, and strategies related to the Texas Cancer Plan have been implemented.
Calculations Type:	Non-cumulative
New Measure:	No
Desired Performance:	Higher than target



Outcome Measure 1.1.4		Percentage of Grantees Receiving Compliance Training
Short Definition:	The ratio of the number of grant entities that receive CPRIT-sponsored training on applicable financial, administrative, and programmatic grant reporting requirements compared to the total number of active grant entities as a percentage.	
Purpose/Importance:	This measure is an indication that grant entities have the training necessary to comply with grant reporting requirements and administrative rule changes.	
Source/Collection of Data:	New grant entities must attend initial, on-boarding training prior to being eligible to receive a disbursement of CPRIT grant funds. Annual training is required for all grant entities who have ongoing CPRIT grants. A grant entity is defined as the organization receiving a CPRIT grant, not an individual such as a principal investigator, program director or company representative. The compliance program tracks grant entity attendance at all CPRIT-sponsored trainings through sign-in sheets for in-person trainings and electronic participation logs for web-based trainings. Grant entities receive credit for attending required training when the grant entity's Authorized Signing Official (ASO) and at least one other member of the grant entity's staff attend a CPRIT-sponsored training (T.A.C. § 703.22). CPRIT maintains the in-person training sign-in sheets and web-based training participation logs in the central agency electronic files.	
Method of Calculation:	The percentage is calculated by dividing the numerator of the number of grant entities attending CPRIT-sponsored trainings during the fiscal year by the denominator of the number of total grant entities with active contracted CPRIT grants on or before August 31 of the fiscal year that will also receive a disbursement of grant funds from CPRIT by August 31 of a fiscal year. Because CPRIT's administrative rule requiring annual compliance training by November 1 of the year is based on a calendar year, CPRIT will use the number of grant entities completing compliance training reported on November 1 of a given year in the calculation of the numerator for the fiscal year that the month of November falls in (i.e., grant entities reported as completing annual training by November 1, 2017 would be used in the calculation of the numerator for FY 2018). The other component of the numerator will be the number of new grant entities receiving initial compliance training during the fiscal year being reported.	
Data Limitations:	None	
Calculations Type:	Cumulative	
New Measure:	Yes	
Desired Performance:	Higher than target	



**Strategy 1.1.1: Fund research grants into the causes of and cures for cancer, laboratory facility construction, and collaboration between various institutions on laboratory research and clinical trials.**

<b>Output Measure 1.1.1.1</b>	<b>Number of Entities Relocating to Texas for Cancer-Research Related Projects</b>
Short Definition:	The total number of business or research entities which establish new business or research operations in Texas in order to participate in an Institute-funded grant award.
Purpose/Importance:	This measure indicates the level of attraction of cancer research funding to draw new businesses and research entities to Texas.
Source/Collection of Data:	Annual status or other reports from a grant recipient documenting the relocation of a business or research entity due to the research project funded by the Institute.
Method of Calculation:	The total number of business or research entities relocating to Texas documented in status reports from grant award recipients.
Data Limitations:	None
Calculations Type:	Cumulative
New Measure:	No
Desired Performance:	Higher than target

<b>Output Measure 1.1.1.2</b>	<b>Number of Researchers Recruited to Texas to Conduct Cancer Research</b>
Short Definition:	The total number of scientific researchers who relocate to Texas for a faculty position at a Texas based academic institution.
Purpose/Importance:	This measure indicates the number of scientific researchers in the area of cancer research attracted to Texas because of the availability of CPRIT research grant funds.
Source/Collection of Data:	CPRIT records of the number of academic institutions awarded a grant ratified by the Oversight Committee based on a grant application to recruit a scientific researcher to their institution.
Method of Calculation:	The total number of researchers recruited to Texas during the fiscal year documented by the ratified award slates and Oversight Committee meeting minutes which record these award decisions.
Data Limitations:	None. All data is the result of the number of research recruitment grants awarded to academic institutions.
Calculations Type:	Cumulative
New Measure:	No
Desired Performance:	Higher than target



Explanatory Measure 1.1.1.1	Number of Research Grant Awards
Short Definition:	Number of research grants made by the Institute.
Purpose/Importance:	This measure indicates the workload of the Institute in awarding grants and managing those grants through their award cycles.
Source/Collection of Data:	Signed research grant awards with the Institute.
Method of Calculation:	The total number of research grant awards issued to grant recipients through signed agreements.
Data Limitations:	None
Calculations Type:	Non-cumulative
New Measure:	No
Desired Performance:	Higher than target

Explanatory Measure 1.1.1.2	Average Dollar Amount of Research Grants Awarded
Short Definition:	The average dollar amount of research grant awards made by the Institute.
Purpose/Importance:	This measure indicates the average size of grant awards issued by the Institute
Source/Collection of Data:	Signed research grant awards with the Institute.
Method of Calculation:	The total dollar amount of research grants divided by the total number of research grants made as documented in signed agreements with the Institute.
Data Limitations:	None
Calculations Type:	Non-cumulative
New Measure:	No
Desired Performance:	Higher than target



Explanatory Measure 1.1.1.3	Number of Published Articles on CPRIT-Funded Research Projects
Short Definition:	Number of scientific publications that include articles that result from CPRIT funded research projects.
Purpose/Importance:	This measure indicates the level of success recognized by external research and medical institutions of CPRIT funded projects in the quest to develop breakthroughs in cancer research and prevention services.
Source/Collection of Data:	The number of publications is reported in awardees' annual reports.
Method of Calculation:	Institute staff will verify and total the number of publications reported by awardees in their report submissions. Publications are interpreted as articles that include references to actual scientific outcomes from awarded projects.
Data Limitations:	The majority of data reported by the Institute involves work done by grantees and their subcontractors. This can create a lag time in reported data resulting in a need for updating previously reported numbers. Variances in performance from quarter to quarter and year to year are likely to occur due to the variety of work done by Institute funded initiatives.
Calculations Type:	Non-cumulative
New Measure:	No
Desired Performance:	Higher than target

Explanatory Measure 1.1.1.4	Number of New Jobs Created and Maintained
Short Definition:	An unduplicated count of the number of jobs that were created and maintained (one year) using funds provided by the Institute.
Purpose/Importance:	This measure indicates the impact of Institute funding to preserve and create new jobs; to build human resources stability in the cancer arena.
Source/Collection of Data:	The number of jobs created and maintained is annually reported in awardees reports.
Method of Calculation:	Institute staff will verify and total the number of jobs created and maintained that are reported by awardees in their report submissions.
Data Limitations:	The majority of data reported by the Institute involves work done by grantees and their subcontractors. This can create a lag time in reported data resulting in a need for updating previously reported numbers. Variances in performance from quarter to quarter and year to year are likely to occur due to the variety of work done by Institute funded initiatives.
Calculations Type:	Non-cumulative
New Measure:	No
Desired Performance:	Higher than target



**Strategy 1.1.2: Award grants for effective cancer control grant programs for all Texans, and mobilize public, private and volunteer agencies and individuals to enhance the availability and quality of cancer prevention and control services.**

Output Measure 1.1.2.1	Number of Cancer Prevention and Control Services Provided
Short Definition:	Total verified number of cancer related education and clinical services provided to Texans through Institute funded initiatives.
Purpose/Importance:	This measure is an indication of the prevention program's reach to Texans with effective science-based programs and/or services.
Source/Collection of Data:	The number of services is reported in prevention grantees' quarterly reports.
Method of Calculation:	Institute staff verifies the number of services from grantees' quarterly reports and creates a cumulative total that is substantiated by records retained at grantees' sites.
Data Limitations:	The majority of data reported by the Institute involves work done by grantees and their subcontractors. This can create a lag time in reported data resulting in a need for updating previously reported numbers. Large variances in performance from quarter to quarter and year to year are likely to occur due to the wide variety of programs and services funded by the Institute, including some grant projects ending and others beginning.
Calculations Type:	Cumulative
New Measure:	No
Desired Performance:	Higher than target





Explanatory Measure 1.1.2.1	Annual Age-adjusted Cancer Mortality Rate
Short Definition:	Statewide annual age-adjusted cancer mortality rate, as determined by the Cancer Registry Division, Texas Department of State Health Services.
Purpose/Importance:	All of the Institute's activities positively contribute to reducing cancer mortality, as do Texas physicians, hospitals, cancer treatment centers, volunteer organizations and other health care facilities. The Institute recognizes that cancer mortality rate is the ultimate outcome measure for cancer control.
Source/Collection of Data:	The Cancer Registry Division of the Texas Department of State Health Services provides the data reported for this measure.
Method of Calculation:	The calculation age-adjusts cancer death rates to the U.S. 2000 Standard Population, as used by the National Cancer Institute.
Data Limitations:	Age-adjusted mortality rates are relative rates used nationally for comparison purposes. Age-adjusted rates fluctuate when population forecasts change and as the population ages. Cancer rates will be adjusted to the 2000 United States standard. Comparisons with previous mortality rates will require recalculations to the new standards. There is an 8-12 month delay in obtaining cancer mortality data from the Texas Department of State Health Services. A long-term, expensive study would be needed to correlate the impact of the Institute projects with the state mortality rate. Further, the impact of cancer prevention efforts on mortality rates cannot be measured in legislative budget cycles.
Calculations Type:	Non-cumulative
New Measure:	No
Desired Performance:	Lower than target



**Strategy 1.1.3: Direct Institute operational cost of reviewing and awarding research and prevention grants**

Output Measure 1.1.3.1	Number of Grants Reviewed for Compliance
Short Definition:	Total number of active grants reviewed by CPRIT grant monitors, who may be agency staff or contracted employees, to verify compliance with CPRIT grant reporting, statutory, and rule requirements.
Purpose/Importance:	This measure is an indication of the agency workload related to the grant compliance review process.
Source/Collection of Data:	Grant monitors may conduct desk reviews of grantee reports submitted in the CPRIT Grants Management System and grantee monitoring site visits on active grants. The definition of an active grant is one that has been contracted and is not closed in the CPRIT Grants Management System.
Method of Calculation:	A grant is counted toward this measure in the quarter when a grant desk review or site visit is concluded and documented by a completed checklist or report.
Data Limitations:	Grant monitors will be able to perform a limited number of monitoring site visits in any given quarter.
Calculations Type:	Cumulative
New Measure:	No
Desired Performance:	Higher than target



## **SCHEDULE C: HISTORICALLY UNDERUTILIZED BUSINESS PLAN**

### **HISTORICALLY UNDERUTILIZED BUSINESSES (HUB) PROGRAM**

The HUB program is governed by the Texas Government Code, Title 10, Subtitle D, Chapter 2161 and rules established by the Comptroller of Public Accounts' Statewide Procurement Division (SPD) in Texas Administrative Code, Title 34, Part 1, Chapter 20, Subchapter B. The purpose of the program is to increase contracting opportunities with the State of Texas for minority-owned, veteran-owned, and women-owned businesses.

The goal of CPRIT's HUB program is to make a good faith effort to award procurement opportunities to certified HUB vendors. CPRIT purchases are historically in three primary procurement categories including Professional, Other Services, and Commodity Purchasing. Certified HUB vendors are classified under an object code that allows SPD to track the agency's HUB expenditures through the Uniform Statewide Accounting System.

As a small agency with 35 full-time equivalents (FTE), CPRIT has one FTE dedicated to purchasing, not a purchasing department. The purchaser's duties include the role of HUB Coordinator and the responsibility to ensure that the agency implements the HUB outreach and procurement strategies identified in this report to increase HUB utilization.

CPRIT depends on SPD to manage the HUB certification process for vendors and maintain the categorical lists of HUB vendors who can provide services and commodities to state agencies. CPRIT also depends on the Department of Information Resources to maintain an adequate number of information technology contracts with certified HUB vendors.

### **HUB PARTICIPATION**

CPRIT is continuously implementing strategies to increase the agency's HUB participation and to ensure the agency complies in fact and spirit with the laws and rules established for the HUB program. This compliance includes adherence to HUB planning and reporting requirements and to HUB purchasing procedures established by SPD. As part of the effort to increase HUB participation, the purchaser must ensure that procurement opportunities are distributed among HUB groups, not concentrated within one or two HUB groups.



The strategies the agency uses to increase utilization of HUB vendors through its procurement processes for all goods and services and outreach activities are:

- Utilizing the SPD Centralized Master Bidders List (CMBL) and HUB search to ensure that all eligible certified HUBs are notified of CPRIT's procurement opportunities;
- Utilizing HUB resellers from the Department of Information Resources' information technology contracts as often as possible;
- Attending HUB Workgroup Discussion meetings;
- Attending HUB small business trainings and HUB forums to increase awareness of CPRIT procurement opportunities among HUB vendors; and
- Participating in available meetings with HUB vendors at other agencies.

### ASSESSMENT ON UTILIZATION OF HUB VENDORS

CPRIT uses the statewide annual HUB procurement goals as the agency goals. Based on those goals, CPRIT came close to meeting the Commodity Purchasing category goal in 2016 as well as in the Professional category goal in 2017. The agency was able to increase spending with HUB vendors in the Commodity Purchasing category in 2017 and exceeded the procurement goal.

#### FY 2017 HUB Expenditures

Procurement Category	Total Expenditures	Total Spent with HUBs (\$)	Total Spent with HUBs (%)	Annual Procurement Goal
Professional	\$1,088,360	\$233,224	21.43%	23.70%
Other Services	\$10,114,556	\$73,237	0.72%	26.00%
Commodity Purchasing	\$180,543	\$71,071	39.37%	21.10%
Total	\$11,383,459	\$377,532	3.32%	

#### FY 2016 HUB Expenditures

Procurement Category	Total Expenditures	Total Spent with HUBs (\$)	Total Spent with HUBs (%)	Annual Procurement Goal
Professional	\$799,786	\$58,487	7.31%	23.70%
Other Services	\$11,257,718	\$94,555	0.84%	26.00%
Commodity Purchasing	\$182,700	\$32,215	17.63%	21.10%
Total	\$12,240,203	\$185,257	1.51%	



Compared to fiscal year 2016, CPRIT purchases from HUB vendors increased significantly in both categories in actual dollars spent and in the percentage of spending in fiscal year 2017. In fiscal year 2016, Commodity Purchasing spending was \$32,215, or 17.63 percent, among HUB vendors. While the agency's expenditures in Commodity Purchasing dipped in 2016 from the 2015 level, HUB expenses in this category exceeded previous annual expenditure levels at \$71,071, or 39.37 percent, in 2017. The purchaser's efforts as described in the strategies outlined above resulted in an increase during the 2016-17 biennium in the agency's HUB spending by \$43,688, or 80 percent, in Commodity Purchasing from the 2014-15 biennium.

However, CPRIT has generally had low HUB purchasing percentages in Professional and Other Services. Professional Services is composed of accounting and auditing firm services that CPRIT must procure to meet the requirements of state law for internal audit, an independent financial audit and grant compliance monitoring. In both fiscal years 2016 and 2017, CPRIT procured independent financial audit services from a certified HUB vendor. CPRIT has not been able to procure services for its other needs in this category given the limited number of certified HUB vendors who provide these services.

The bulk of CPRIT purchases fall into Other Services. In fiscal year 2017, CPRIT made \$10.1 million, or 89 percent, of agency purchases in this category. CPRIT also made 92 percent of its purchases in this category in fiscal year 2016. Agency purchases in this Other Services category include major contracts for specialized services like pre- and post-award grant management support services for CPRIT's grant programs, outside counsel services for intellectual property due diligence on CPRIT product development research grant applications, business and regulatory due diligence on CPRIT product development research grant applications, third-party peer review meeting monitoring services, and an annual economic assessment of the cost of cancer in Texas.

For the specialized services that CPRIT must procure to fulfill its mission, there are very few vendors who provide many of these services. For pre- and post-award grant management support services and business and regulatory due diligence, CPRIT has not received proposals from vendors in Texas who can provide these services nor is aware of any vendors in Texas who can provide these services. The same is true for business and regulatory due diligence services. There is a corresponding lack of certified HUB vendors who can provide these services. This category also includes CPRIT's expenditures for honoraria payments to the chairs of its peer review committees which evaluate the hundreds of cancer prevention and research grant applications CPRIT receives each year. The chairs of CPRIT's peer review committees are recruited for their recognized

expertise in a cancer research field, the public health prevention arena, or drug and device commercialization and must live outside the state due to conflict of interest issues with potential grant applicants. Therefore, no alternatives exist to procure similar services from certified HUB vendors.

During fiscal year 2017, CPRIT continued to purchase from three of the six procurement categories and conducted business or awarded contracts to four of the six HUB groups. CPRIT does not anticipate that it will purchase from businesses in additional procurement categories as it does not engage in purchases in the Heavy Construction, Building, and Special Trade categories.



### FY 2017 Expenditures by Certified HUB Group

Certified HUB Group	Total Number of HUB Vendor(s) Receiving Contract Awards	Percent of HUB Vendors Receiving Awards	Total Dollars Awarded to HUB Groups	Percent of Total Dollars Awarded to HUB Groups
Asian Pacific	1	9.09%	\$42,121	11.16%
Black	3	27.27%	\$49,857	13.21%
Hispanic	2	18.18%	\$194,291	51.46%
Native American	0	0.00%	\$0	0.00%
Service-Disabled Veteran	0	0.00%	\$0	0.00%
Women	5	45.45%	\$91,262	24.17%
Total	11	100.00%	\$377,532	100.00%

### FY 2016 Expenditures by Certified HUB Group

Certified HUB Group	Total Number of HUB Vendor(s) Receiving Contract Awards	Percent of HUB Vendors Receiving Awards	Total Dollars Awarded to HUB Groups	Percent of Total Dollars Awarded to HUB Groups
Asian Pacific	3	33.33%	\$82,041	44.29%
Black	2	22.22%	\$42,419	22.90%
Hispanic	1	11.11%	\$19,596	10.58%
Native American	0	0.00%	\$0	0.00%
Service-Disabled Veteran	0	0.00%	\$0	0.00%
Women	3	33.33%	\$41,199	22.24%
Total	9	100.00%	\$185,257	100.00%

The total amount spent by CPRIT among certified HUB vendors more than doubled from 2016 to 2017 although as a percentage of total spending, the spending level remained about the same. CPRIT maintained spending among four of the six different HUB groups in fiscal years 2016 and 2017. During fiscal year 2018, the agency will continue to make a good faith to maintain this diversity and improve upon it with a concentrated effort to conduct business with the two HUB groups, Service-Disabled Veteran and Native American, with which the agency did not conduct business during fiscal year 2017. CPRIT will accomplish this by continued attendance at statewide HUB events and actively seeking out the group codes on the CMBL and DIR contract list to make these vendors aware of CPRIT purchasing opportunities.



## HUB Outreach

CPRIT's HUB outreach efforts have two purposes. One is to distribute information about the agency and its procurement needs to HUB vendors at HUB events, such as small business trainings and forums. The other is for the purchaser to gain knowledge about certified HUB vendors who perform services or provide commodities needed by the agency. During fiscal year 2017, CPRIT's purchaser participated in two HUB events.

### HUB Events Attended in FY 2017

HUB Event Name	Location	Date of Event
Marketing for Success	Austin	April 5, 2017
Senator West's Doing Business Texas Style	Irving	May 8-9, 2017

In fiscal year 2018, CPRIT's purchaser has already participated in the HUB events outlined below. The purchaser will add other activities if other HUB events are scheduled in the remainder of the year.

### HUB Events Planned in FY 2018

HUB Event Name	Location	Date of Event
FY18 Procurement Connection Seminar & Expo	Austin	October 24, 2017
Marketing for Success HUB Vendor Fair	Austin	April 18, 2018
Senator West's Doing Business Texas Style	Irving	May 7-8, 2018

CPRIT's outreach efforts include responding to all email and hard copy communication received from HUB vendors, including vendors met at HUB events. Through these efforts CPRIT has established new relationships with HUB vendors and re-established relationships with other HUB vendors that the purchaser had at other state agencies.



## **SCHEDULE F: WORKFORCE PLAN**

### **OVERVIEW OF STATUTE, MISSION, AND ESSENTIAL FUNCTIONS**

Texas voters approved a constitutional amendment in 2007 establishing the Cancer Prevention and Research Institute of Texas (CPRIT) and authorizing the state to issue \$3 billion in general obligation bonds to fund groundbreaking cancer research and prevention programs and services throughout the state. Texas Health and Safety Code, Chapter 102, is the authorizing statute that charges CPRIT to:

- Create and expedite innovation in the area of cancer research and in enhancing the potential for a medical or scientific breakthrough in the prevention of cancer and cures for cancer;
- Attract, create, or expand research capabilities of public or private institutions of higher education and other public or private entities that will promote a substantial increase in cancer research and in the creation of high-quality new jobs in this state; and
- Develop and implement the *Texas Cancer Plan*.

Under the guidance of the Oversight Committee, CPRIT accepts applications and awards grants for a wide variety of cancer-related research and for the delivery of cancer prevention programs and services by public and private entities located in Texas. All CPRIT-funded research must be conducted in state by Texas-based scientists and reflect CPRIT's mission to attract and expand the state's research capabilities and create high quality new jobs in Texas.

Since the first appropriation of bond funds became available on September 1, 2009, CPRIT has awarded funds for, among other things, individual investigator research projects; high-risk innovation research projects; evidence-based prevention programs and services; health promotion and public education prevention programs; company-based research; and professional education programs. CPRIT awards funds to academic institutions to recruit outstanding researchers to Texas institutions and to train exceptional pre- and postdoctoral candidates who are committed to pursuing a career in basic, translational, and clinical cancer research to cultivate the next generation of investigators and leaders in the cancer research field in Texas. CPRIT also focuses on community collaborative prevention programs for breast, cervical, and colorectal cancers and on multi-institutional collaborations to enhance the capabilities and infrastructure in Texas to improve the research resources for the future growth of the state's biotechnology industry.

All proposals are reviewed by nationally recognized experts who live and work outside Texas to ensure objectivity in the review process. Their advice is used by the Program Integration Committee to develop cancer research and prevention recommendations which are reviewed by the Oversight Committee.

### **AGENCY WORKFORCE – CORE FUNCTIONS**

CPRIT has 35 budgeted full-time equivalent (FTE) positions headed by a Chief Executive Officer who oversees three core areas: operations, programs and legal and compliance. The substantive functions within each core consist of research, prevention, product development; information technology, human resources, finance; purchasing, legal administration and grant compliance. These functions are necessary to accomplish the core mission and duties of the agency.



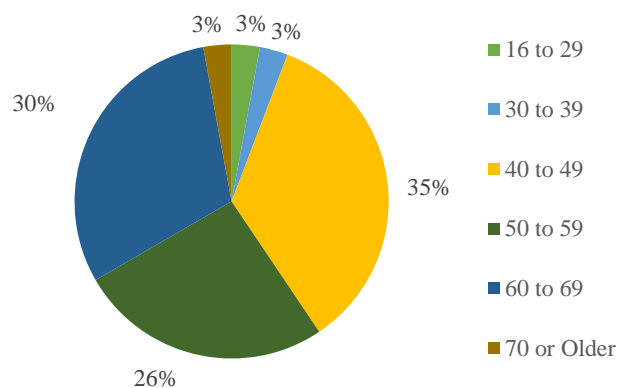


## AGENCY WORKFORCE DEMOGRAPHICS

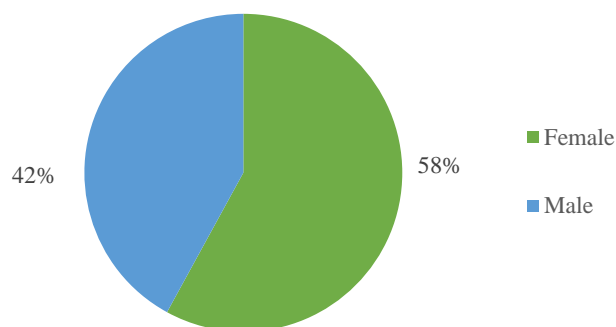
All employees are centrally located in the Capitol Complex in Austin, Texas. The following charts profile CPRIT's total workforce. Thirty-three percent of CPRIT's employees are over the age of 60. The agency workforce is comprised of 58% females and 42% males.

Thirty-five percent of employees have less than two years of service with the agency. Fifty-seven percent have over 10 years of state service. All employees have the potential for continued service with the agency.

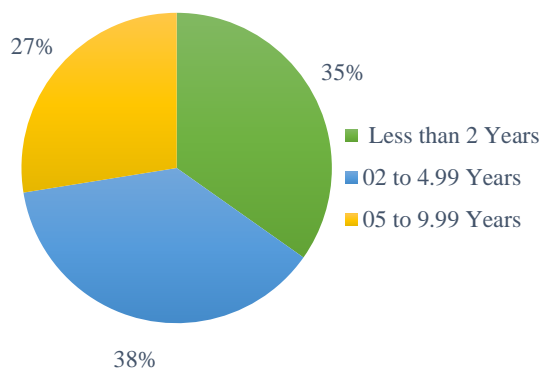
**Age**



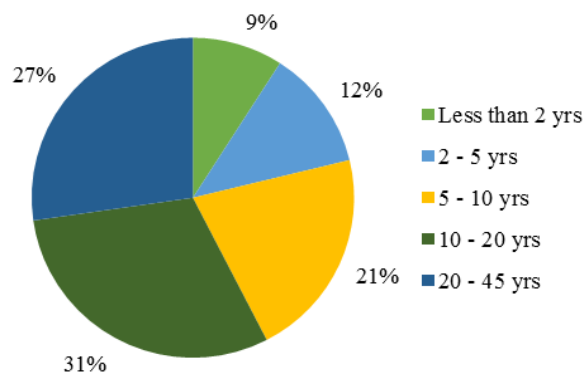
**Gender**



**Agency Tenure**



**State Tenure**

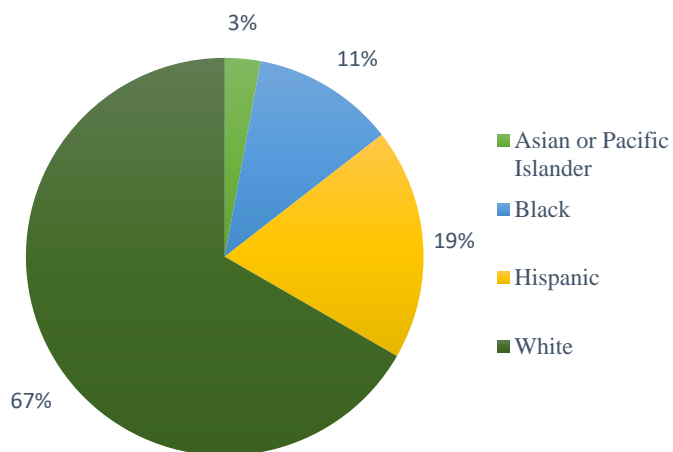




## WORKFORCE BREAKDOWN

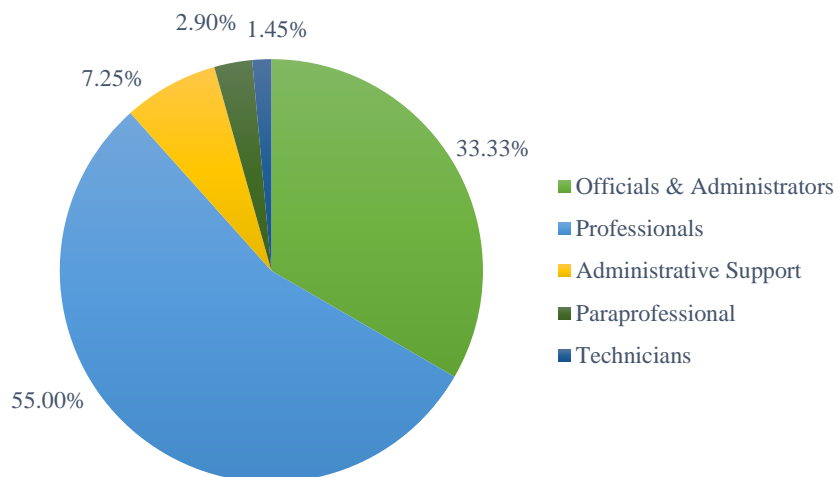
### Agency Workforce By Ethnicity

Over half (67 percent) of CPRIT's workforce is white, while 19 percent is Hispanic, 11 percent is African American and 3 percent is Asian.



### Agency Workforce By Job Category

The following illustrates the occupational job category for CPRIT's current workforce as of May 2018.



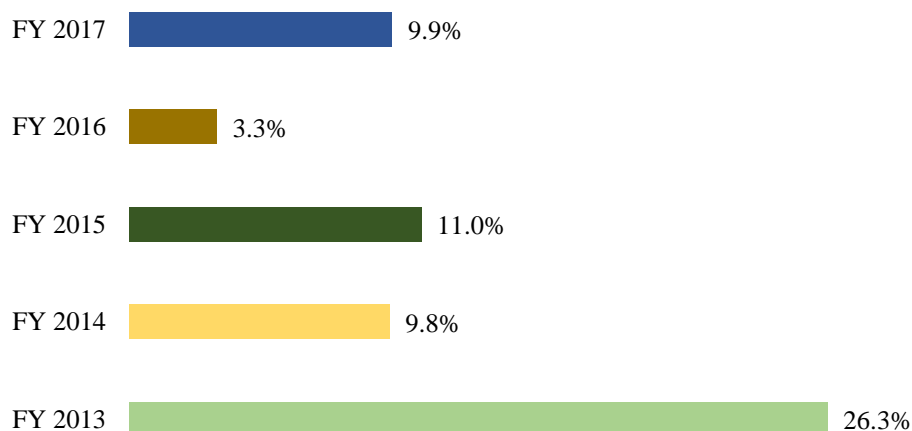


## Retirement Eligibility

Approximately 31 percent of CPRIT employees is currently eligible or will become eligible to retire by the end of 2023 and 11 percent are return to work retirees. The agency recognizes that the potential loss of employees due to retirement may be an issue. Loss of expertise along with normal attrition is possible; therefore, CPRIT strives to ensure that business knowledge and organizational expertise is not lost, and redundancy exists.

## Employee Turnover

The following chart shows the CPRIT turnover during fiscal years 2013 through 2017. During this period of time, the turnover rate varied from 3.3% (one FTE) to 26% (five FTEs). In general, turnover occurs most commonly among employees who have less than two years of service with the agency.



## Essential Critical Workforce Skills Necessary for Institute Mission

CPRIT requires a workforce with a broad range of experience. It is essential in a small agency to have staff with diverse skills and experience because it is likely that an employee will perform more than one job function. The agency has qualified, dependable employees with skills necessary to meet the unique requirements of the agency. To maintain quality services for Texas and carry out essential functions, the agency will continue to hire and retain employees with experience and skills in science, medicine, prevention, product development, leadership, management, administration, information technology, finance, compliance, and grant monitoring.

## Future Workforce Profile (Demand and Gap Analysis)

A continuing analysis of CPRIT demands will be reviewed to ensure that there is an adequate and effective agency workforce in place. CPRIT expects to request authority for one additional FTE to augment the agency's current information technology team.



## Strategy Development

CPRIT has determined that over the next five years, there will be a gap in the information technology area. There are no surpluses in workforce numbers or skills. CPRIT ensures that staff is equipped with the necessary and appropriate knowledge and skills to effectively accomplish the agency's mission by providing training opportunities; support staff attendance at job relevant seminars and conferences and encourage employees who seek new challenges by assigning special projects; and providing cross-training to all staff.

CPRIT will continue to follow the established recruitment plan and keep agency policies and procedures documented to ensure necessary skills are retained. CPRIT is committed to recruiting and hiring the staff necessary to continue to support the agency mission.



## **SCHEDULE G: REPORT ON CUSTOMER SERVICE**

### **EXECUTIVE SUMMARY AND ANALYSIS**

CPRIT is accountable to a broad range of important stakeholders — from the Texas Legislature and state leaders, to the researchers and clinicians on the front lines in the conquest of cancer, to the Texans living with cancer and their families and communities, to the citizens who have entrusted their tax dollars to fulfilling the agency’s mission.

More directly, CPRIT’s customers are the applicants and recipients of its grants served by all three of the agency’s strategies under Goal A, Cancer Research and Prevention Services. Their perceptions of agency operations are reflected in CPRIT’s 2018 customer satisfaction survey. The overall grant process used by CPRIT includes numerous customer service touchpoints related to the grant reporting requirements, which are among the most rigorous in the field of cancer research. These touchpoints include both in-person and online interactions with CPRIT staff and systems. These survey results reflect improvement in customer service from the 2016 survey results based on the positive perceptions improving by 9.5% in staff courteousness, knowledge and promptness from 73.8% in 2016 (see P-1 in the Perception Data section below) and by 5.2% in effective communication with CPRIT from 73.0% in 2016 (see P-3 in the Perception Data section below). This improvement is especially rewarding since the improvement in perception of the agency comes during a period when CPRIT implemented stricter requirements on grant reporting, including penalties for delinquent reporting, in the implementation of the grant compliance program.

As the *Agency Strategic Plan, Fiscal Years 2017-2021* explained two years ago, CPRIT has been implementing strategies to address the feedback since the 2014 customer satisfaction survey. Once CPRIT completed hiring additional staff and reorganizing existing staff to provide better customer service in grant contracting, financial reporting, and grant compliance, CPRIT has continued refining administrative rules, updating grant procedures and providing regular grantee training on grant reporting and compliance requirements.

CPRIT’s effort to continuously refine its administrative rules to address grant award reporting requirements and provide more written guidance about post-award reporting requirements to grantees over the past four years has resulted in the ongoing improvement of the relationship with the grantees and also resulted in more consistent compliance with the requirements. In conjunction with these written rules and guidance, CPRIT has also been providing more training for grantee personnel of all new and continuing active grant awards. The training addresses CPRIT’s new and amended grant policies, procedures and administrative rule requirements for grantees using CPRIT grant funds.

CPRIT’s ability to implement its statutory and administrative rule requirements for grant administration, monitoring and reporting are dependent on mutually satisfactory relationships with grantees required to comply with those requirements. Therefore, the quality, timeliness and efficiency of CPRIT’s customer service are integral to effective agency operations and an ongoing focus of the agency to continue improving those standards.



## **SURVEY OVERVIEW AND METHODOLOGY**

In April 2018, CPRIT issued a customer satisfaction survey to gauge the perceptions of CPRIT grantees about the agency's interaction with them. Results include both quantitative and narrative data summarized in this report. The 2018 survey is the same as that used in 2016.

Invitations to participate in the survey were distributed to 458 grantee representatives including:

- Principal investigators
- Program directors
- Company representatives
- Authorized signing officials
- Office of sponsored programs contract and financial staff

A total of 78 customers responded for a response rate of 17.0%.

Descriptive data collected in the survey included:

- Nature of the customer's relationship with CPRIT
- Modes and methods of interaction (e.g., phone, email, grants management system)

Perception data collected in the survey included customer assessments of:

- Interaction with CPRIT staff
- Communications accessibility
- CPRIT's website
- Handling of complaints
- Grants application process and review transparency
- Grant application submission system usability
- Grant application feedback
- Grants helpdesk
- Post-award reporting system usability

Narrative data was provided via open-ended customer comments from 15 respondents. Responses ranged from expressing general appreciation and satisfaction in their interaction CPRIT staff to difficulties in using the online post-award grant management and report submission system.

## **MEASURES OF CUSTOMER SERVICE**

CPRIT does not have specific performance measures related to customer service. The standard statewide measures for customer service reporting are as follows:

### *Outcome Measures*

- Percentage of Surveyed Customer Respondents Expressing Overall Satisfaction with Services Received:  
Ranges from 52.6% through 83.3% depending on service (see perception data on p.34)



- Percentage of Surveyed Customer Respondents Identifying Ways to Improve Service Delivery: 1.3% of all respondents; 19.2% of respondents providing comments

#### *Output and Explanatory Measures*

- Total Customers Surveyed: 458
- Total Customers Served: 458
- Total Customers Identified: 458
- Total Customer Groups Inventoried: 5

#### *Efficiency Measure*

- Cost per Customer Surveyed: \$0.14

## DESCRIPTIVE DATA

D-1. What was the nature of your contact with CPRIT? *(more than one response allowed)*

Program/Activity	Percentage	Number
Academic Research Program	59.0%	46
Prevention Program	24.4%	19
Product Development Research Program	11.5%	9
Grant Expense/Reporting Issue	11.5%	9
Grant Helpdesk	25.6%	20
Grant Contract Issue	7.7%	6
CPRIT Issues (Public or Media Relations)	6.4%	5
Grant Compliance	10.3%	8
Other	2.6%	2
<b>Total Respondents</b>		<b>78</b>

D-2. How did you contact us? *(more than one response allowed)*

Mode	Percentage	Number
Phone	38.5%	30
Email	60.3%	47
CPRIT Grants Management System	56.4%	44
<b>Total Respondents</b>		<b>78</b>



## PERCEPTION DATA

P-1. CPRIT Program and Post-Award Staff: Program and post-award support staff is courteous, knowledgeable, and prompt in response to an inquiry.

Assessment	Percentage	Number
Agree	83.3%	65
Neutral	7.7%	6
Disagree	0%	0
Not Applicable	9.0%	7
<b>Total Respondents</b>		<b>78</b>

P-2. Grant Helpdesk: Helpdesk staff is courteous, knowledgeable and prompt in answering your inquiries about grant opportunities.

Assessment	Percentage	Number
Agree	75.6%	59
Neutral	6.4 %	5
Disagree	1.3%	1
Not Applicable	16.7%	13
<b>Total Respondents</b>		<b>78</b>

P-3. Accessibility: Communicating with CPRIT via telephone or electronic mail is an effective process.

Assessment	Percentage	Number
Agree	78.2%	61
Neutral	11.5%	9
Disagree	1.3%	1
Not Applicable	9.0%	7
<b>Total Respondents</b>		<b>78</b>

P-4. Website: CPRIT's website is easy to navigate and contains useful information about CPRIT and its funding opportunities.

Assessment	Percentage	Number
Agree	68.8%	53
Neutral	23.4%	18
Disagree	5.2%	4
Not Applicable	2.6%	2
<b>Total Respondents</b>		<b>77</b>





P-5. Grants Application and Review: CPRIT's grant application and review process is understandable and transparent.

Assessment	Percentage	Number
Agree	62.8%	49
Neutral	21.8%	17
Disagree	7.7%	6
Not Applicable	7.7%	6
<b>Total Respondents</b>		<b>78</b>

P-6. Grant Application Feedback: I received feedback on my grant application that helped me understand my application's strengths and weaknesses.

Assessment	Percentage	Number
Agree	52.6%	41
Neutral	10.3%	8
Disagree	11.5%	9
Not Applicable	25.6%	20
<b>Total Respondents</b>		<b>78</b>

P-7. Complaint Process: Complaints are easy to file and resolved in a timely manner.

Assessment	Percentage	Number
Agree	24.4%	19
Neutral	14.1%	11
Disagree	1.3%	1
Not Applicable	60.3%	47
<b>Total Respondents</b>		<b>78</b>

P-8. Grants Application Submission: CPRIT's electronic application receipt system is user-friendly and technologically responsive.

Assessment	Percentage	Number
Agree	64.1%	50
Neutral	17.9%	14
Disagree	3.8%	3
Not Applicable	14.1%	11
<b>Total Respondents</b>		<b>78</b>



P-9. Post-Award Report Submission: CPRIT's post-award electronic grants management system is user-friendly and technologically responsive.

Assessment	Percentage	Number
Agree	67.9%	51
Neutral	12.8%	10
Disagree	17.9%	14
Not Applicable	1.3%	1
<b>Total Respondents</b>		<b>78</b>